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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	P3718
	First Inventor or Application Identifier	Vijnan Shastri et al.
	Title	Method and Apparatus for Indicating Story-Line Changes by Mining Closed-Caption-Text
	Express Mail Label No.	EJ745193662US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 34] (preferred arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Copyb. <input type="checkbox"/> Paper Copy (identical to computer copy)c. <input type="checkbox"/> Statement verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 8]	ACCOMPANYING APPLICATION PARTS
4. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).	8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney
	9. <input type="checkbox"/> English Translation Document (if applicable)
	10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
	11. <input type="checkbox"/> Preliminary Amendment
	12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
	13. <input checked="" type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
	14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
	15. <input checked="" type="checkbox"/> Other: Check for fees

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09 / 354,525
Prior application information: Examiner Unknown Group / Art Unit: 2775

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or <input type="checkbox"/> Correspondence address below					
Name	Donald R. Boys of Central Coast Patent Agency				
Address	P.O. Box 187				
City	Aromas	State	CA.	Zip Code	95004
Country	US	Telephone	831-726-1457	Fax	831-726-3475

Name (Print/Type)	Donald R. Boys	Registration No. (Attorney/Agent)	35074
Signature		Date	05/31/2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <p style="font-size: small; margin: 5px 0;">Note: Effective October 1, 1997. Patent fees are subject to annual revision.</p>	Complete if Known												
TOTAL AMOUNT OF PAYMENT (\$) 345.00	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td>NA</td></tr> <tr><td>Filing Date</td><td>05/31/2000</td></tr> <tr><td>First Named Inventor</td><td>Vijnan Shastri et al.</td></tr> <tr><td>Group Art Unit</td><td>NA</td></tr> <tr><td>Examiner Name</td><td>NA</td></tr> <tr><td>Attorney Docket Number</td><td>P3718</td></tr> </table>	Application Number	NA	Filing Date	05/31/2000	First Named Inventor	Vijnan Shastri et al.	Group Art Unit	NA	Examiner Name	NA	Attorney Docket Number	P3718
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<h3 style="text-align: center; margin: 0;">METHOD OF PAYMENT (check one)</h3> <p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number </p> <p>Deposit Account Name </p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other </p> <h3 style="text-align: center; margin: 10px 0;">FEE CALCULATION</h3> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <h4 style="margin: 0;">1. FILING FEE</h4> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 760</td><td>201 380</td><td>Utility filing fee</td><td style="border: 1px solid black; text-align: center;">345.00</td></tr> <tr><td>106 330</td><td>206 165</td><td>Design filing fee</td><td style="border: 1px solid black;"></td></tr> <tr><td>107 540</td><td>207 270</td><td>Plant filing fee</td><td style="border: 1px solid black;"></td></tr> <tr><td>108 790</td><td>208 395</td><td>Reissue filing fee</td><td style="border: 1px solid black;"></td></tr> <tr><td>114 150</td><td>214 75</td><td>Provisional filing fee</td><td style="border: 1px solid black;"></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (1)</td> <td style="border: 1px solid black; text-align: center;">(\$) 345.00</td> </tr> </tbody> </table> </div> <div style="border: 1px solid black; padding: 5px;"> <h4 style="margin: 0;">2. CLAIMS</h4> <table style="width: 100%; font-size: x-small;"> <tr> <td>Total Claims</td> <td style="border: 1px solid black; text-align: center;">15</td> <td>-20 =</td> <td style="border: 1px solid black; text-align: center;">0</td> <td>X</td> <td style="border: 1px solid black; text-align: center;">09</td> <td>=</td> <td style="border: 1px solid black; text-align: center;">0.</td> </tr> <tr> <td>Independent Claims</td> <td style="border: 1px solid black; text-align: center;">2</td> <td>-3 =</td> <td style="border: 1px solid black; text-align: center;">0</td> <td>X</td> <td style="border: 1px solid black; text-align: center;">39</td> <td>=</td> <td style="border: 1px solid black; text-align: center;">0.</td> </tr> <tr> <td>Multiple Dependent Claims</td> <td style="border: 1px solid black;"></td> <td></td> <td style="border: 1px solid black;"></td> <td>X</td> <td style="border: 1px solid black;"></td> <td>=</td> <td style="border: 1px solid black;"></td> </tr> </table> <table style="width: 100%; font-size: x-small; margin-top: 5px;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 18</td><td>203 09</td><td>Claims in excess of 20</td><td style="border: 1px solid black;"></td></tr> <tr><td>102 78</td><td>202 39</td><td>Independent claims in excess of 3</td><td style="border: 1px solid black;"></td></tr> <tr><td>104 270</td><td>204 135</td><td>Multiple dependent claim</td><td style="border: 1px solid black;"></td></tr> <tr><td>109 82</td><td>209 41</td><td>Reissue independent claims over original patent</td><td style="border: 1px solid black;"></td></tr> <tr><td>110 22</td><td>210 11</td><td>Reissue claims in excess of 20 and over original patent</td><td style="border: 1px solid black;"></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td style="border: 1px solid black; text-align: center;">(\$) 0.</td> </tr> </tbody> </table> </div>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 760	201 380	Utility filing fee	345.00	106 330	206 165	Design filing fee		107 540	207 270	Plant filing fee		108 790	208 395	Reissue filing fee		114 150	214 75	Provisional filing fee		SUBTOTAL (1)			(\$) 345.00	Total Claims	15	-20 =	0	X	09	=	0.	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SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Donald R. Boys			Reg. Number	35,074
Signature		Date	05/31/2000	Deposit Account User ID	

Certificate of Express Mailing

"Express Mail" Mailing Label Number: EJ745193662US

Date of Deposit: 05/31/2000

Ref: Case Docket No.: P3718

First Named Inventor: Vijnan Shastri et al.

Serial Number: NA

Filing Date: 05/31/2000

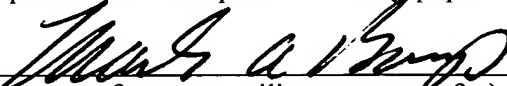
Title of Case: Method and Apparatus for Indicating Story-Line Changes by Mining Closed-Caption-Text

I hereby certify that the attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and addressed to the Commissioner of Patents and Trademarks, Washington D.C. 20231

1. Utility patent application transmittal.
2. 34 sheets of specification.
3. 8 sheets of drawings.
4. Fee transmittal.
5. Duplicate fee transmittal.
6. Declaration and Power of Attorney.
7. Verified Statement Claiming Small Entity Status.
8. Check for fees in the amount of \$345.00.
9. Certificate of express mailing.
10. Postcard listing contents.

Mark A. Boys

(Typed or printed name of person mailing paper or fee)


(Signature of person mailing papers or fee)

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
 (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)
P3718

Applicant or Patentee: Vijnan Shastri et al.

Application or Patent No.: NA

Filed or Issued: NA

Title: Method and Apparatus for Indicating Story-Line Changes by Mining Closed-Caption-Text

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN HoTv, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 11455 El Camino Real Suite 350, San Diego, CA 92130

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

- Each person, concern, or organization having any rights in the invention is listed below:
☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Kamal Bhadada

TITLE OF PERSON IF OTHER THAN OWNER Vice President

ADDRESS OF PERSON SIGNING 11455 El Camino Real Suite 350, San Diego, CA 92130

SIGNATURE Kamal Bhadada

DATE 5/30/00